

Form PTO-1449 (Modified)				Atty Docket No.: 04667.P005		Serial No.: 09/872,938	
List of Patents and Publications Statement (Use several sheets if necessary)				Applicants: Michael R. Lynch		<div style="transform: rotate(-15deg); font-weight: bold; font-size: 1.2em;">RECEIVED</div> <div style="transform: rotate(-15deg); font-weight: bold; font-size: 1.2em;">SEP 07 2001</div> <div style="transform: rotate(-15deg); font-weight: bold; font-size: 1.2em;">Technology Center 2100</div>	
				Filing Date: May 31, 2001			
REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS			
Exam. Initial		Date	Document Number	Name	Class	Sub- Class	Filing Date
FOREIGN PATENT DOCUMENTS							
No.		Document No.	Date	Country	Name	Class	Sub- Class
OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)							
ln		Autonomy, Technology White Paper, September 1997, pages 1-17. <a href="http://www.autonomy.com">www.autonomy.com</a>					
		Autonomy, XML White Paper, November 2000, pages 1-9. <a href="http://www.autonomy.com">www.autonomy.com</a>					
		Autonomy – Adding Intelligence to the XML, November 2000, pages 1-3. <a href="http://www.autonomy.com/autonomy/dynamic/autopage466.shtml">http://www.autonomy.com/autonomy/dynamic/autopage466.shtml</a>					
		Autonomy, FIRST TO FULLY AUTOMATE XML TAGGING, June 1998, pages 1-2. <a href="http://www.autonomy.com/autonomy/dynamic/autopage150.shtml">http://www.autonomy.com/autonomy/dynamic/autopage150.shtml</a>					
		P.J. Rayner and M.R. Lynch, ICASSP 90 volume 2 S2 VA, Speech Processing 2 VLSI Audio and Electroacoustics, Complexity Reduction in Volterra Connectionist Modelling by Consideration of Output Mapping, April 3-6, 1990, pages 885-888.					
		M.R. Lynch, P.J. Rayner and S.B. Holden, ICASSP 91 volume 3 D, Digital Signal Processing, Removal of Degeneracy in Adaptive Volterra Networks by Dynamic Structuring, May 14-17, 1991, pages 2069-2072.					
ln		Autonomy, Kenjin, Bring autonomy's technology to your PC, March 2001 <a href="http://www.autonomy.com/autonomy/dynamic/autopage203.shtml">http://www.autonomy.com/autonomy/dynamic/autopage203.shtml</a>					
Examiner				Date Considered <span style="font-size: 1.2em;">2/8/04</span>			
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant							

Substitute for Form 1449/PTO				<b>Complete if Known</b>		
<div style="position: relative; height: 100px;"> <div style="position: absolute; top: 0; left: 0; width: 100%; height: 100%; border: 1px solid black; border-radius: 50%; text-align: center; line-height: 100px; font-size: 24px; font-weight: bold;">O I P E</div> <div style="position: absolute; bottom: 0; left: 0; width: 100%; height: 100%; border: 1px solid black; border-radius: 50%; text-align: center; line-height: 100px; font-size: 24px; font-weight: bold;">JUL 21 2003</div> </div>				Application Number		09/872,938
				Filing Date		May 31, 2001
				First Named Inventor:		Michael R. Lynch
				Art Unit		2171
				Examiner Name		N/A
Sheet <u>1</u> of <u>2</u>		Attorney Docket Number		004667.P005		
<b>U.S. PATENT DOCUMENTS</b>						
Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number-Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	
lw		US- 6,006,221	12/21/1999	Liddy, et al.	JUL 23 2003	
		US- 6,137,911	10/24/2000	Zhilyaev		
		US- 6,477,524 B1	11/05/2002	Taskiran, et al.	Technology Center 2100	
lw		US- 6,523,026 B1	02/18/2003	Gillis		
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FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>

Examiner Signature	Date Considered
	<u>7/8/04</u>

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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known

Application Number	09/872,938
Filing Date	May 31, 2001
First Named Inventor:	Michael R. Lynch
Art Unit	2171
Examiner Name	N/A

Sheet

2

of

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Attorney Docket Number

004667.P005 Technology Center 2100

## NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
lw		HAYKIN, S., <u>Adaptive Filter Theory</u> , Englewood Cliffs, N.J.: Prentice-Hall, 1986, Chapters 5 and 8.	
		IVANKHNENKO, A. "Heuristic Self-Organization Problems of Engineering Cybernetics Automatica," Vol. 6, March, 1970, pp. 207-219.	
		KLEMA, V., et al., "The Singular Value Decomposition: Its Computation and Some Applications," IEEE Trans. AC, Vol. AC-25, No. 2, April 1980, pp. 164-176.	
		POWELL, M.J.D., <u>Radial Basis Function Approximations to Polynomials</u> , "Proc. Department of Applied Mathematics and Theoretical Physics, <u>Numerical Analysis</u> , 1987.	
		RAYNER, P. et al., "A New Connectionist Model Based on a Non-Linear Adaptive Filter Process," ICASSP89, April, 1989.	
		SCHETZEN, Martin, <u>The Volterra and Weiner Theories of Non-Linear Systems</u> , New York, New York: John Wiley, 1980, Chapter 5.	
lw		XUE, Q., et al., "Analysis of the Hidden Units of the Multi-Layer Preceptron and its Application in Acoustic-to-Articulatory Mapping," Proc. ICASSP90, April, 1990.	

Examiner  
Signature

Date  
Considered

2/8/04

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